

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on Reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1 FROM (Agency or Establishment)  
FEDERAL RETIREMENT THRIFT INVESTMENT BOARD

2 MAJOR SUBDIVISION  
OFFICE OF ENTERPRISE RISK MANAGEMENT

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER  
Vivian A Scott, RM Specialist

5 TELEPHONE  
(202) 942-1629

SAVE BLANK (NARA USE ONLY)

JOB NUMBER

N1-474-12-7

DATE RECEIVED

7/6/2012

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

DATE

ARCHIVIST OF THE UNITED STATES

2012 213 [Signature]

## 6 AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☒ X is not required,

☐ is attached, or

☐ has been requested

DATE

6/26/2012

SIGNATURE OF AGENCY REPRESENTATIVE

Gisile Goethe [Signature]

TITLE Acting Director, Office of Resource  
Management and Acting RM Officer

7  
ITEM  
NO

8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9 GRS OR  
SUPERSEDED  
JOB CITATION

10 ACTION  
TAKEN (NARA  
USE ONLY)

### Internal Audit Control Materials

Electronic data material that are created as internal audits are performed

Disposition Cut off at the end of the fiscal year File onto electronic media (DVDs) for storage at FRTIB before transfer to FRC Transfer to the Washington National Records Center [WNRC] 5 years after cutoff Destroy 30 years after cutoff

Attachment to Proposed SF-115 Request for Records Disposition Authority  
for an Unscheduled Record Internal Audit Control Materials

**Background Information**

The Thrift Savings Plan (TSP) is a retirement savings and investment plan for Federal employees established in the Federal Employees' Retirement System Act of 1986, which has been codified as amended largely at 5 U.S.C §§ 8401-8479 (1994). It is managed by the Federal Retirement Thrift Investment Board.

**Description of Items and Proposed Disposition Authority**

New proposed record as component to existing series (Audit Monitoring Records)

**Internal Audit Control Materials**

This proposed Schedule is being submitted to gain media neutral approval for the recordkeeping copy of a new, temporary electronic record to be maintained by the Office of Enterprise Risk Management.

This revised draft supersedes previously-submitted drafts for this same Record, previously proposed (4/29/2011) as a component for an existing Schedule. As it has been determined that this is a distinct record from other audit materials, i.e., electronic records generated, created, and produced during internal audits, this record requires a separate, distinct Schedule to enable storage of a major electronic record maintained within the Office of Enterprise Risk Management.

The proposed additions to the existing Schedule will enable electronic storage of a major record series generated within the Office of Enterprise Risk Management. The Office of Enterprise Risk Management is also responsible for control activities of the Federal Retirement Thrift Investment Board [FRTIB] such as audit and other fiduciary management in its oversight.